

**Reference Number:** 700-04-DD

**Title of Document:** Levels of Service Coordination

**Date of Issue:** December 1, 2008

**Effective Date:** December 1, 2008

**Last Review Date:** January 1, 2010 (Reviewed)

**Date of Last Revision:** January 1, 2010 (Revised)

**Applicability:** Contracted Providers of Service Coordination

In order to provide quality Service Coordination to those served by the Department of Disabilities and Special Needs, this directive establishes and defines the levels of DDSN Service Coordination and outlines the procedures for determining and implementing the appropriate level for people. The policy focuses on serving those people in greatest need, empowering people and their families to be self-advocates and using resources in the most efficient way possible.

## **I. Service Coordination**

Service Coordination is defined by Medicaid policy as the coordination of services to assure that people have access to a full array of needed services, thereby preventing the need for institutionalization or more costly services or interventions. When providing Service Coordination, it is expected that the Service Coordinator actively identify needs and resources, actively coordinate services to meet those needs, and actively monitor those services over time to assure that they continue to be necessary and appropriate. When active and on-going interventions from a Service Coordinator are required in order to access needed services, Level I Service Coordination services should be provided. However, for those who do not require the active and ongoing interventions of a Service Coordinator in order to access needed services, Level II Service Coordination is available.

## **II. Levels of Service Coordination**

Service Coordination is provided to those eligible for DDSN services according to their *level of need*. The level of need will be determined by the service coordinator based on available information. It is the responsibility of the service coordinator (SC) to:

- identify needs in various areas of the person's life;
- determine in general the importance of those needs;
- determine the resources available to the person;
- determine the probable frequency and intensity of effort required to address those needs;
- assess the person's/legal guardian's capacity to advocate for him/herself;
- conclude whether the person's needs require the active, ongoing interventions of a service coordinator.

The **Level I/Level II Service Coordination Assessment** must be completed:

1. Within ten (10) days of being determined eligible for DDSN services (i.e. date of eligibility determination).
2. No more than ten (10) days prior to transitioning from Early Intervention to Service Coordination; and/or
3. No more than ten (10) days prior to moving from one Service Coordination Level to another.

(See Attachment A for the Level I/Level II Service Coordination Assessment)

DDSN does not provide active or comprehensive service coordination when there is no need for it. While no one is required to receive Service Coordination, certain DDSN services can only be accessed through the involvement of a Service Coordinator /Early Interventionist (SC/EI) (e.g., Home and Community Based Waiver services). Those persons in the most difficult circumstances and with the most complex needs require the greatest intervention from service coordination.

## **III. Level I Service Coordination**

Level I Service Coordination is DDSN's most comprehensive level of service coordination and is reserved for those with the greatest need. Level I Service Coordination most often begins when intake is initiated for DDSN eligibility determination and the case is opened on the Consumer Data Support System (CDSS). However, the person cannot receive the full range of service coordination activity until DDSN eligibility is determined.

For someone to receive Level I Service Coordination, an ongoing need for service coordination must be supported by documentation in his/her file. The following circumstances are indicative of situations that would result in the need for ongoing and active interventions from a SC. Therefore, persons in one of these circumstances should receive Level I Service Coordination. Level I Service Coordination should be provided when someone:

1. is being determined eligible for DDSN services. (If this person's eligibility determination has been ongoing for more than 90 days, this question must be answered "no").
2. has identified needs that will require the active and ongoing interventions of a Service Coordinator or Early Interventionist to address. Such interventions may be required due to the person's need for intensive treatment or services, parent/caregiver with limited skills or with a disability who is unable to provide adequate care/supervision of services and needs, the person's undiagnosed condition requiring further evaluation, the person's current or recent involvement in a volatile or possibly abusive, neglectful, or dangerous situation, etc.
3. is in a critical situation (i.e., his/her name is on DDSN critical waiting list).
4. is currently enrolled in the MR/RD, HASCI, PDD or Community Supports Waiver.
5. lives in an alternative placement or a DDSN supported placement other than an ICF/MR.
6. is being concurrently served by DJJ.
7. has medical (including genetic) conditions that require consistent, coordinated care by general or specialty physicians, therapists, and other allied health professionals and needs the active and ongoing interventions of a Service Coordinator regarding those services.
8. is currently experiencing health risk indicators such as uncontrolled high blood pressure or unmanaged diabetes and their primary care physician is not managing care.
9. has expressed health or safety concerns that neither they nor others have been able to resolve, that they appear not to have recognized or are not addressing or refusing to address.
10. is engaging in behaviors with serious health, safety, or legal consequences including incarceration (see 503-01-DD).
11. is a threat to the health and safety of others.
12. is experiencing circumstances that are a threat to his/her current living situation (such as behavioral issues or lack of supervision), or that threaten the continuation of care in the near future by the primary caregiver (such as health or aging issues).

NOTE: In the event of an adverse report, DDSN may require Level I Service Coordination for persons residing in non-board operated CRCFs or nursing homes.

#### **IV. Level II Service Coordination**

Level II Service Coordination should be provided when::

- the person's eligibility determination is ongoing after 90 days;
- the person's eligibility has just been established (will go immediately to Level II at the time eligibility is established unless prior approval is received from DDSN District Offices or HASCI staff);
- the person receives no on-going services through DDSN or receives services intermittently (e.g., respite, family support, information and referral, etc.)
- there is no need for active, ongoing interventions from a Service Coordinator (Level I Service Coordination);

- the person requests not to have Level I Service Coordination (and they do not fall into any of the categories Section III, #1-13);
- the person is enrolled in the Community Choices Waiver, the HIV/ AIDS Waiver, the Medically Complex Children's Waiver, or the Mechanical Ventilator Waiver;
- the person is served by an agency for whom SCDDSN is the concurrent case manager under the DHHS hierarchy, or
- the person cannot be located after at least three documented legitimate attempts to do so (One of those attempts should be a letter by certified mail to the person's last known mailing address. A legitimate attempt would not include, for example, calling the same telephone number three times in a single day or calling on a day or at a time that the records would indicate that no one is likely to be home. A legitimate attempt might include, but not be limited to, calling on various days or times of day with a reasonable expectation that the person or other knowledgeable person might be present, home visits, calling new telephone numbers obtained from past service providers or others who know the person, or calling a known family member not listed on the CDSS as a contact person.

People receiving Level II Service Coordination can contact the SC provider as needed for assistance.

Additionally, NO quarterly monitoring or plan development is required for those on Level II.

If one-time or short-term needs arise for persons on Level II status, it is not necessary for the person to be placed on Level I status. The SC should address the immediate needs, document his/her actions in a service note, and update the CDSS as necessary. A Plan or Plan Amendment is not required if addressing one-time or short-term needs. The needs of persons receiving Level II Service Coordination must be given as much consideration as the needs of persons receiving Level I Service Coordination.

If someone on Level II Service Coordination requests a Waiver slot, application for the slot must be made in accordance with applicable Home and Community Based Waiver policy.

There should be **NO** reporting or billing for service coordination services for someone on Level II service coordination.

#### **V. Procedures for Placing Someone on Level II Service Coordination**

When, based on the results of the Level I / Level II Service Coordination Assessment, Level II Service Coordination is determined to be appropriate, the SC will notify the person of the move from Level I to Level II, provide information describing both Level I and Level II Service Coordination, and who to contact and how to contact the provider should needs arise while on Level II status. The person/legal guardian will be asked to notify the provider when they incur changes in

address or telephone number and whenever they have a need for a service coordinator's assistance.

The person/legal guardian should be informed of his/her right to question the decision according to procedures defined by DDSN's 535-08-PD, Concerns of People Who Receive Services: Reporting and Resolution. If these procedures fail to resolve the concerns of the person/legal guardian, they should be informed of 535-11-DD, Appeal and Reconsideration Policy and Procedures.

The attached notice (Attachment B) with appeal information may be used to notify the person/legal guardian of the change in status. This notification may be mailed and a copy should be maintained in the person's primary case record.

#### **VI. Updating Information on the CDSS/STS**

After someone is placed on Level II Service Coordination, the service coordination provider agency will continue to be responsible for maintaining current and accurate demographic and contact information on CDSS as they become aware of any changes. Changes in program information on CDSS/STS will be the responsibility of the program/service provider (e.g. Day Program), not the responsibility of the Service Coordinator.

#### **VII. Procedures for Moving Someone from Level II to Level I**

When, based on the results of assessment, it is determined that someone's situation/needs have changed such that active, on-going interventions from a Service Coordinator are necessary, the person can be moved to Level I. These moves can only occur with the approval of DDSN. Requests to move someone from Level II to Level I must be submitted to the District Office or HASCI Division for approval prior to the change being made on STS/CDSS.

If the person/legal guardian disagrees with a determination that Level I status is not warranted, the person/legal guardian should be informed of his/her right to question the decision according to procedures defined by DDSN's 535-08-PD, Concerns of People Who Receive Services: Reporting and Resolution. If these procedures fail to resolve the concerns of the person/legal guardian, they should be informed of 535-11-DD, Appeal and Reconsideration Policy and Procedures.

#### **VIII. Transferring EI Children into Level I & Level II**

For DDSN eligible children that are to leave Early Intervention and may need some level of service coordination and the legal guardian wishes to have service coordination, it is the Early Interventionist's responsibility to offer the legal guardian a choice of service coordination providers. The Early Interventionist must also complete the Level I/Level II Service Coordination Assessment to determine the level of need and the level of service coordination that will be required.

If a child is identified according to the results of the Level I/II SC assessment as having needs that require active, ongoing service coordination and the legal guardian wishes to have service coordination, the child will be transferred into Level I Service Coordination. Children that are to be transferred directly into Level I Service Coordination will be transferred with a current Family Service Plan (FSP) that will remain in place for a period up to 45 days from the date of new caseworker assignment. The Early Interventionist will be responsible for assuring a current FSP prior to a child's transfer to Level I Service Coordination. The service coordination support plan is due no later than 45 days from the effective begin date of the new caseworker assignment.

If a child is to be transferred directly into Level II Service Coordination, the child will enter Level II Service Coordination with their current Individualized Family Service Plan (IFSP) or FSP in place though no current plan of any type is required for someone on Level II service coordination.

Before a transfer to Level I Service Coordination, the Early Interventionist must explain Level I Service Coordination to the family.

Before a transfer to Level II Service Coordination, the procedures of Section V should be followed.

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Kathi K. Lacy, Ph.D.  
Associate State Director for Policy  
Originator

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Beverly A.H. Buscemi, Ph.D.  
State Director  
Approved

Attachment A	Level I/Level II Service Coordination Assessment
Attachment B	Service Coordination Levels

**MEMORANDUM**

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**TO:** DSN Board Executive Directors  
Contract Providers of Service Coordination

**FROM:** Kathi Lacy, Ph.D.  
Associate State Director, Policy

**DATE:** January 1, 2010

**SUBJECT:** 700-04-DD and Service Coordination Standards

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The Service Coordination Standards have been updated. The following is a summary of the changes that have been made:

1. The requirement for annual contact with those on Level II and/or optional Service Coordination has been removed;
2. Revision made to requirements for sending families information regarding abuse and neglect;
3. Language changes related to HASCI Division;
4. Revision of requirements for a new service agreement to be completed for people when they turn 18 (from 30 days to 90 days)
5. Timeframe changed for Level I/Level II assessment from 45 to 10 calendar days from eligibility.